

Quick Start Guide

EFS-Web 1.0



Introduction



Welcome to EFS-Web, the United States Patent and Trademark Office's safe, simple, and secure means of electronically submitting patent applications and documents. This Quick Start guide will provide you with the information you need in order to rapidly understand how to file patent applications electronically, including a brief overview of the process and screen shots that identify critical components of the product.

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Before you file electronically there are a few important items you should know:

- EFS-Web is a web-based tool that can be accessed from any web-enabled computer anywhere in the world.
- EFS-Web is a patent application and document submission solution that utilizes standard web-based screens and prompts to enable you to submit a portable document format (PDF) document directly to the USPTO.
- EFS-Web is not a patent application authoring tool. It allows you to use the same tools and workflow processes used to produce paper-based patent application documents.
- EFS-Web is legally equivalent to paper-based patent application and document submission methods and provides filers with the same protections as traditional methods. EFS-Web provides you with a receipt that serves as legally binding proof of the date and time of your submission. (You will still receive a paper receipt mailed from OIPE).
- EFS-Web has been designed to be simple to use. In a matter of minutes you can complete a submission and receive electronic confirmation that it has been received by USPTO. It incorporates important new safeguards that alert you to possible problems with your patent application before it is submitted, providing a flexible and forgiving platform that can ease the submission process.
- EFS-Web allows you to submit industry-standard PDF (portable document format) files. Although PDF is an open standard, not all PDF files are the same. There are important distinctions you must know about PDF files before you start the submission process. Information about compatible PDF files is detailed in the Quick Start guide and in other documentation and we strongly recommend that you read this information in its entirety.
- EFS-Web has been designed to integrate with Private PAIR, USPTO's online database that provides trusted filers with controlled access to your non-published patent application information, as well as all information that Public PAIR provides.
- EFS-Web incorporates e-commerce capabilities that give you multiple options for paying for your patent application or document submission.

EFS-Web Sign On



Web Access

A computer, an Internet browser and an Internet connection are your tickets to electronic filing. Users can access EFS-Web by navigating to the www.USPTO.gov website and clicking on "File" under "Patents".

Filings Accepted

EFS-Web accepts new utility, provisional, design, and National Stage applications under 35 USC 371. Registered eFilers may also file follow-on documents for previously filed applications.

EFS-Web allows both the Registered and Unregistered user to file patents electronically. We will examine the sign on process for each before moving on to the application process itself.

TIP! *EFS-Web Sandbox is the online model of EFS-Web where you can practice going through the interface for submitting applications and documents:* http://www.uspto.gov/ebc/portal/tutorials.htm

APPLICATION TYPES

A Registered or PKI eFiler may file the following:

New application types:

- · Design,
- · Utility,
- Provisional,
- 371 National Stage
- Follow-on documents and/ or fees to existing patent applications

An *Unregistered or TLS eFiler* may file the following:

New applications types:

- · Design,
- · Utility,
- Provisional,
- 371 National Stage

(If you are filing a 371 National Stage you will need to include the International Application number, as well as the International filing date.)

EFS-Web Sign On



REGISTERED EFILER

A Registered eFiler has both an assigned Customer Number and a Digital Certificate for secure communication with the USPTO. You may either be working as the certificate holder or under the authority of the certificate holder.

Certify Identity/Certificate Holder

As the certificate holder you must:

- Certify you are the certificate holder
- Indicate if this is a new or existing application
- If a new application, select type



TIP! The **(1)** icons, as in the application type section above, are informational icons. If you see an **(1)**, click on it, and you'll receive information about that section of the site.

TIP! Clicking 'Continue' allows you to move forward through the submission process, as well as saves any information you have entered to that point.

WARNING! If you click 'Cancel' on any screen during any part of the filing process a message will inform you that you are about to delete all of your entered information to that point, and ask if you really want to cancel. Upon clicking OK, you will be returned to the login screen.

Certify Identity: Working under authority of certificate holder

If you are working under the authority of the certificate holder you must:

- · Certify your status
- Provide your name and e-mail address
- Indicate if this is a new or existing application

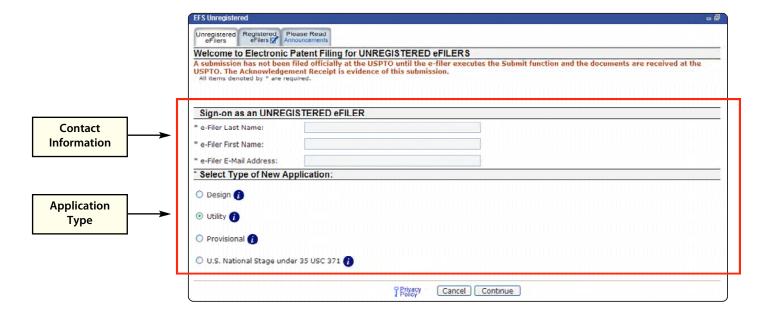
EFS-Web Sign On



UNREGISTERED EFILER

As an Unregistered eFiler you must provide your contact information and select the type of application you are filing before proceeding to the application process.

NOTE! *The asterisks denote required information.*

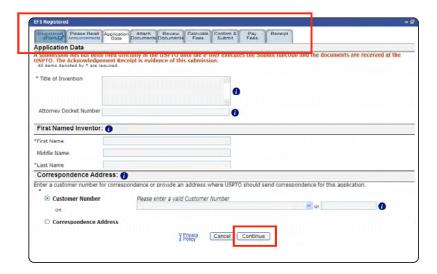




APPLICATION PROCESS

Once you have signed on and begun the application process, the tab structure at the top of the screen expands to show you the components of the application process. The first tab indicates whether you are filing as a registered or unegistered user and the white tab indicates where you are within the process.



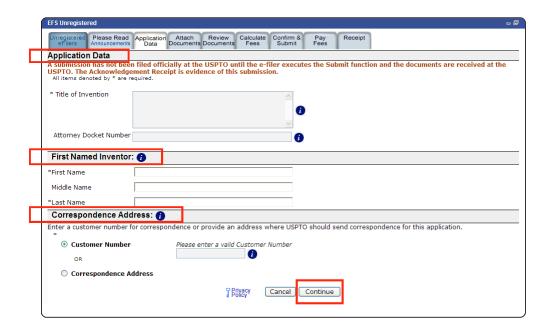


NOTE! Tabs allow you to move forward and backwards to EFS Web pages. However you can only move forward if you have been on that page. If you use tabs to go back **and make changes**, you must click **Continue** to save those changes – if you simply Tab forward the changes will be lost.



APPLICATION DATA

You must specify the title of your invention, the first named inventor, and a correspondence address at this point.



TIP! You can use the Tab key on your keyboard to move you from one input field or button to the next available field or button. Shift-Tab will reverse the direction of the Tab key.

WARNING! If you don't enter a customer number then the submitted application will not be associated with your digital certificate. If this relationship is not made then you will not be able to view your application in Private PAIR.

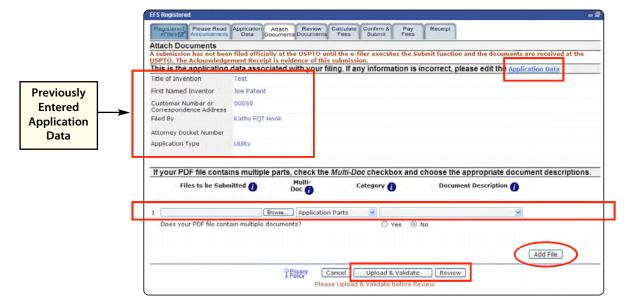


ATTACHING DOCUMENTS

After the eFiler clicks 'Continue' the critical data entered by the user is echoed back. If any errors are found the user can go back and correct them by clicking 'Application Data'. Next attach your PDF.

- Browse and select the PDF file to be submitted
- Indicate whether the PDF file has multiple documents by clicking the 'Multi-Doc' check box
- Enter the document description for the file or its parts
- And if you need to attach additional documents, click 'Add Document' or 'Add File' and repeat these steps.

TIP! There is a 2.5MB size limit per file (excluding USPTO fillable forms).



Click 'Upload & Validate' to automatically check for compliance and to be notified of errors and warnings before submission.

WARNING! EFS-Web can only validate a maximum of 20 files submitted at one time.

You may also evaluate your work to this point by clicking the 'Review' button at the bottom of the screen.

WARNING! You must click Upload and Validate prior to 'Review' or you will lose the attachment.

TIP! If your document could not be validated, an error message will appear informing you of the reason for the validation failure. Attaching a document that is not a PDF will cause a failure to validate, as will not entering a document description. This field is equipped with a drop down list of choices. If you cannot see the drop down, please scroll right and make your selection.

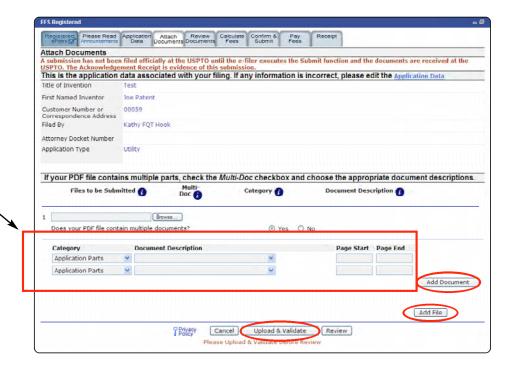
REMEMBER! You can correct any errors by clicking the 'Application Data' button.



MULTI-DOC PDF

Some PDF files may contain multiple documents that should be separately indexed in the USPTO Image File Wrapper. For example, a patent application PDF file may contain a specification, claims, abstract, and drawings that should be listed as separate documents in the IFW. Enter the page ranges for each section so that the documents are properly displayed in the IFW. Amendments should be separated as well.

Enter the page ranges for each section so that the documents are properly displayed



At this point you can either add additional documents by clicking 'Add Document', additional sections of documents by clicking 'Add File', or 'Upload & Validate' these documents.

REMEMBER! For new submissions, there must be at least one attachment.

TIP! You are limited to 60 documents per submission.

WARNING! If you file a new submission and do not include a PDF file with a document description of "specification", it could result in a delay in processing of your submission.

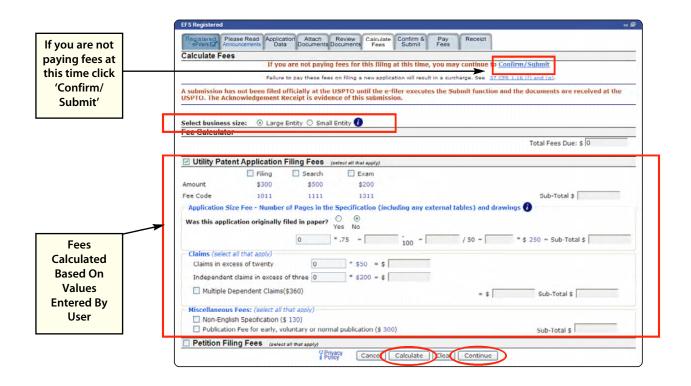


CALCULATE FEES

Fees are dynamically generated based on the values entered by the user.

- Indicate the business size (large or small entity)
- Select all applicable filing fees

NOTE! You may submit your application without generating fees at this time by clicking the 'Confirm/Submit' link or the 'Continue' button, remembering that extra fees may be incurred.



Click 'Calculate' to see fees and 'Continue' to proceed to the next section.

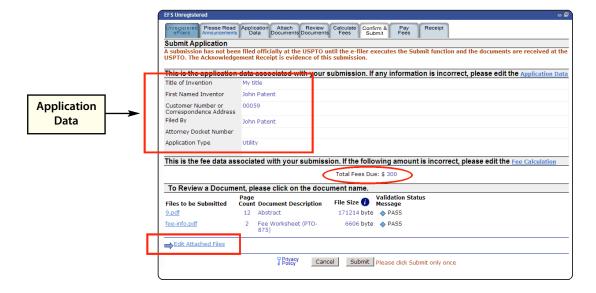
WARNING! If you click 'Cancel' on any screen during this process a message will inform you that you are about to delete your entered information, and ask if you really want to cancel. Upon clicking OK, you will be returned to the login screen.



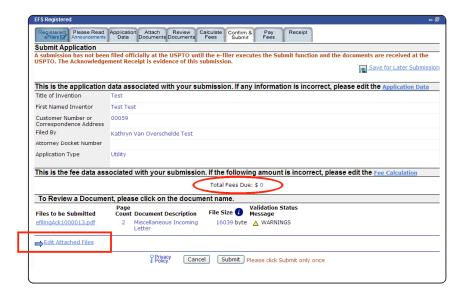
SUBMIT APPLICATION

Confirm and Submit marks the last time before submission that the user will be able to:

- Review and either confirm or edit application data
- Edit fees associated with the application and
- Remove or edit the documents associated with the application



If you have elected to submit without generating fees on the Calculate Fees screen your submit application screen will appear with a 'Total Fees Amount' of \$0.



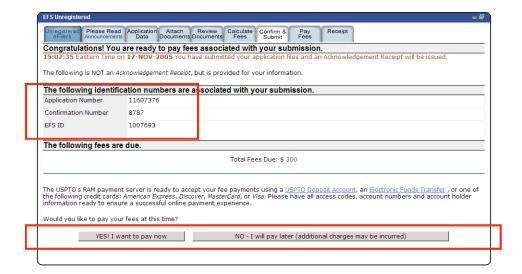


CONGRATULATIONS

Once you have successfully submitted your application you will be provided with this Congratulations screen providing you with:

- Your Application Number
- Your Confirmation Number associated with your Application Number
- EFS ID

You will also have the opportunity to either pay your fees at this time or indicate that you would like to pay them later and acknowledge that additional charges may be incurred.



TIP! Your confirmation number is tied to your application. This pair of numbers decreases the mismatching of submissions with their existing applications. This pair of numbers is required for submitting documents and/or fees to existing applications.

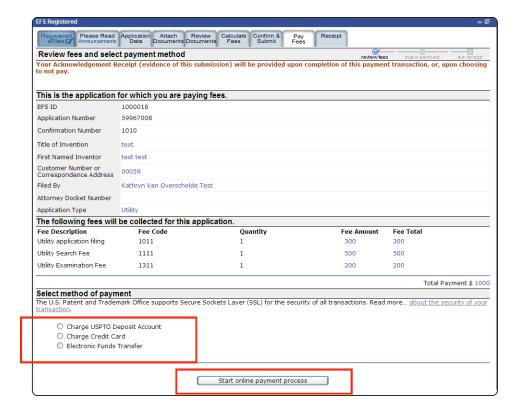


PAY FEES

Fees may be paid to USPTO via one of three means:

- By charging the filer's USPTO Deposit Account
- By charging their Credit Card
- Or via an Electronic Funds Transfer

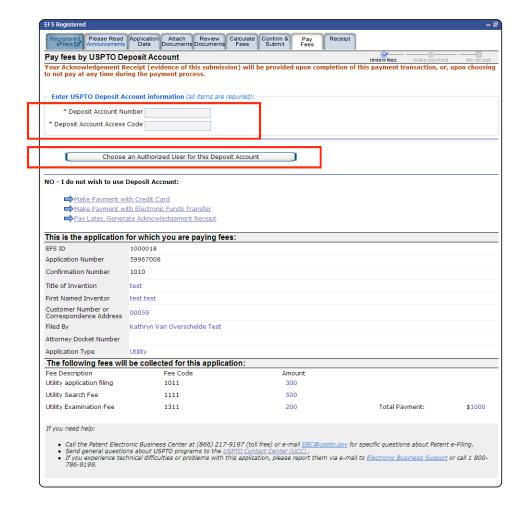
Once you have selected your payment type, click 'Start online payment process".





USPTO Deposit Account

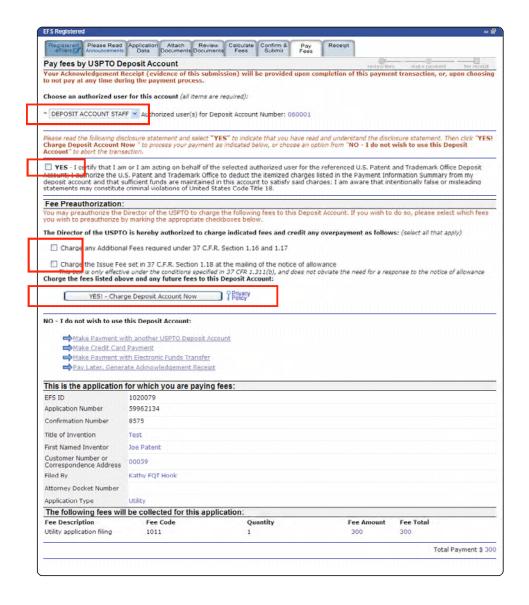
- Enter Deposit Account Number
- Enter Deposit Account Access Code
- Click "Choose an Authorized User for this Deposit Account"



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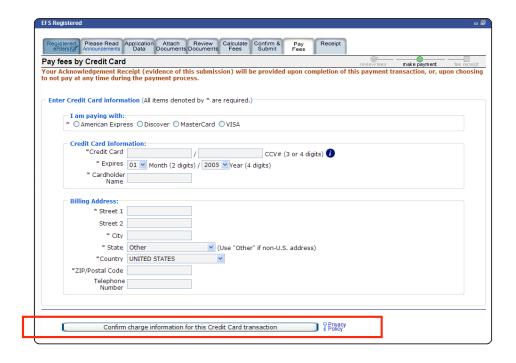
- Choose an authorized user of the Deposit Account from the drop-down menu.
- Click "Yes" to certify you have the right to use the account.
- Check the over or under charge fees (if needed)
- Click "Yes charge deposit account now"





Credit Card Payment

Filing fees may be charged to a VISA, MasterCard, American Express, or Discover card by providing and confirming credit card and billing formation.



Electronic Funds Transfer

Enter your User ID and Password. If you do not have a user ID and password, click 'please create a USPTO EFT account now.

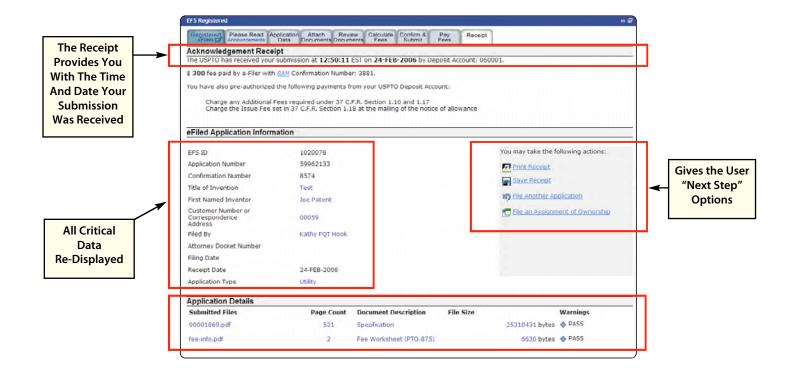




ACKNOWLEDGEMENT RECEIPT

Your acknowledgement receipt provides you with the time and date your submission was received as well as re-displaying your critical application information and details. It also allows you to do any of the following:

- · Print Receipt
- Save Receipt
- File Another Application
- File an Assignment of Ownership
- · Exit the Patent Application Filing



TRAINING

Training Guides are provided on the USPTO EFS-Web page. Self-paced Computer Based Training is available 24 x 7 in various file formats, including Windows Media, Real Media, PowerPoint and PDF files.